



JAP12 Rec'd PCT/PTO 12 JUN 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Hidetaka HIYOSHI et al

Serial No: 10/589,534

National Phase Filed: August 15, 2006

For: SUSTITUTED SYM-TRIINDOLE

Examiner:

Group Art Unit:

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

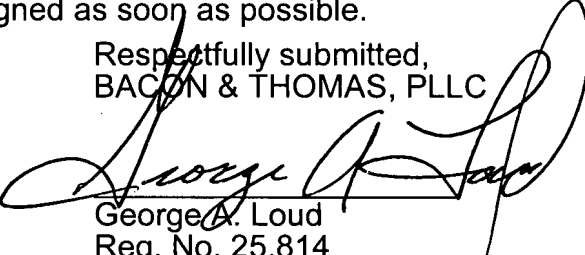
Applicants note that the Official Filing Receipt, copy enclosed, in the above-identified application contains the following error.

Specifically, Assignee IHARA CHEMICAL INDUSTRY CO., LTD., is not listed under the Assignment for Published Applicant portion of the filing receipt.

Attached are copies of the Assignment and Application Data Sheet (ADS) as filed with the application and Notice of Recordation of Assignment with the Assignees' information highlighted. The error therefore is believed to be chargeable to the USPTO and no fee is required. However, if any fees are deemed necessary, they may be charged to Deposit Account #02-0200. A duplicate of this request is enclosed.

Accordingly, it is respectfully requested that the USPTO data base for this application be corrected and a CORRECTED Filing Receipt be issued for this application and forwarded to the undersigned as soon as possible.

Respectfully submitted,
BACON & THOMAS, PLLC



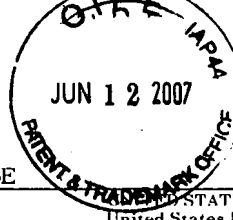
George A. Loud
Reg. No. 25,814

June 12, 2007
Date

Customer Number 23364
Bacon & Thomas, PLLC
625 Slaters Lane, Fourth Floor
Alexandria, VA 22314
(703) 683-0500



UNITED STATES PATENT AND TRADEMARK OFFICE



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APPL NO.	FILING OR 371(C) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/589,534	08/15/2006	1614	3350	HIYO3002/GAL	14	14

CONFIRMATION NO. 7257

23364
 BACON & THOMAS, PLLC
 625 SLATERS LANE
 FOURTH FLOOR
 ALEXANDRIA, VA 22314

FILING RECEIPT



OC000000023700334

Date Mailed: 05/08/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Hidetaka Hiyoshi, Shizuoka, JAPAN;
 Hironobu Kumagai, Saitama, JAPAN;
 Hideo Ooi, Shizuoka, JAPAN;

Assignment For Published Patent Application: IHARA CHEMICAL INDUSTRY CO., LTD.

Power of Attorney: The patent practitioners associated with Customer Number 23364.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP05/02140 02/14/2005



Foreign Applications

JAPAN 2004-038874 02/16/2004

If Required, Foreign Filing License Granted: 05/04/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/589,534**

Projected Publication Date: 08/16/2007

Non-Publication Request: No

Early Publication Request: No

Title

Substituted sym-triindole

Preliminary Class

514

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/589,534	Hidetaka Hiyoshi	HIYO3002/GAL

INTERNATIONAL APPLICATION NO.

PCT/JP05/02140

I.A. FILING DATE

PRIORITY DATE

02/14/2005

02/16/2004

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 ALEXANDRIA, VA 22314

CONFIRMATION NO. 7257

371 ACCEPTANCE LETTER



OC000000023700335

Date Mailed: 05/08/2007

NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

08/15/200608/16/2006

DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and
 (c)(4) REQUIREMENTS

DATE OF COMPLETION OF ALL 35 U.S.C. 371
 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 08/15/2006
- English Translation of the IA filed on 08/15/2006
- Copy of the International Search Report filed on 08/15/2006
- Preliminary Amendments filed on 08/15/2006
- Information Disclosure Statements filed on 09/28/2006
- Oath or Declaration filed on 08/15/2006
- U.S. Basic National Fees filed on 08/15/2006
- Substitute Specification filed on 08/15/2006
- Assignment filed on 08/15/2006
- Priority Documents filed on 08/15/2006
- Specification filed on 08/15/2006

- Claims filed on 08/15/2006
- Abstracts filed on 08/15/2006
- Drawings filed on 08/15/2006

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

Application Data Sheet

Applicant Information

Application number::
Filing Date:: August 15, 2006
Application Type:: Utility
Subject Matter::
Suggested Classification::
Suggested Group Art Unit::
Sequence Submission::
Computer Readable Form (CFR)?::
Number of copies of CFR::
Title:: SUBSTITUTED SYM-TRIINDOLE
Attorney Docket Number:: HIYO3002/GAL
Request for Early Publication?:: No
Request for Non-Publication?:: No
Suggested Drawing Figure:: Fig. 1
Total Drawing Sheets:: 2
Small Entity?:: No

Applicant Information

Applicant Authority Type:: Inventor
Primary Citizenship Country:: Japan
Status:: Full capacity
Given Name:: Hidetaka
Family Name:: HIYOSHI
City of Residence:: Shizuoka
Country of Residence:: Japan
Street of mailing address:: c/o Ihara Chemical Industry Co., Ltd. Kenkyusho

2256, Nakanogo, Fujikawa-cho
City of mailing address:: Ihara-gun Shizuoka
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 421-3306

Applicant Authority Type:: Inventor
Primary Citizenship Country:: Japan
Status:: Full capacity
Given Name:: Hironobu
Family Name:: KUMAGAI
City of Residence:: Saitama
Country of Residence:: Japan
Street of mailing address:: c/o Ihara Chemical Industry Co., Ltd.
4-26, Ikenohata 1-chome, Taito-ku
City of mailing address:: Tokyo
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 110-0008

Applicant Authority Type:: Inventor
Primary Citizenship Country:: Japan
Status:: Full capacity
Given Name:: Hideo
Family Name:: OOI
City of Residence:: Shizuoka
Country of Residence:: Japan
Street of mailing address:: c/o Ihara Chemical Industry Co., Ltd. Kenkyusho
2256, Nakanogo, Fujikawa-cho
City of mailing address:: Ihara-gun Shizuoka
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 421-3306

Correspondence Information

Correspondence Customer Number:: 23364

Phone Number:: 703 683-0500

Representative Information

Representative Customer Number::	23364	
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Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::

Foreign Priority Information

Country::	Application Number::	Filing Date::	Priority Claimed::
PCT	PCT/JP2005/002140	February 14, 2005	Yes
Japan	2004-038874	February 16, 2004	Yes

Assignee Information

Assignee name:: Ihara Chemical Industry Co., Ltd.
Street of mailing address:: 4-26, Ikenohata 1-chome, Taito-ku,
City of mailing address:: Tokyo
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 110-0008

ATTORNEY/DOCKET NO:

ASSIGNMENT BY INVENTOR(S) OF U.S. APPLICATION

WHEREAS, I am the original, first and sole inventor and I own (if only one name is listed below) or an original, first and joint inventor and the joint inventors own (if plural names are listed below) (referred to as "ASSIGNOR" below) the subject matter which is claimed and for which a patent is sought on the invention (referred to as the "INVENTION" below) entitled:

Title: SUBSTITUTED SYM-TRIINDOLE

the specification of which (check one):

<input type="checkbox"/>	is executed on even date herewith.		
<input type="checkbox"/>	was filed on (day-month-year)		as U.S. Application Number
<input checked="" type="checkbox"/>	was filed on (day-month-year)	14.2.2005	as PCT Application Number PCT/JP2005/002140
<input type="checkbox"/>	was executed on the following date(s) (day-month-year)		

WHEREAS, IHARA CHEMICAL INDUSTRY CO., LTD.

having a postal address of 4-26, Ikenohata 1-chome, Taito-ku, Tokyo 110-0008, JAPAN

(referred to as "ASSIGNEE" below) desires to acquire the entire right, title and interest in and to the same in the U.S.;

NOW, THEREFORE, for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, ASSIGNOR, by these presents does sell, assign and transfer unto ASSIGNEE, the entire right, title, and interest in and to said INVENTION and application throughout the United States of America, including any and all patents granted on any division, continuation, continuation-in-part and reissue of said application.

ALSO, ASSIGNOR hereby agrees to execute any documents that legally may be required in connection with the filing, prosecution and maintenance of said application or any other patent applications in the United States for said INVENTION, including additional documents that may be required to affirm the rights of ASSIGNEE in and to said INVENTION, all without further consideration. ASSIGNOR also agrees, without further consideration and at ASSIGNEE's expense, to identify and communicate to ASSIGNEE at ASSIGNEE's request documents and information concerning the INVENTION that are within ASSIGNOR's possession or control, and to provide further assurances and testimony on behalf of ASSIGNEE that lawfully may be required of ASSIGNOR in respect of the prosecution, maintenance and defense of any patent application or patent encompassed within the terms of this instrument. ASSIGNOR's obligations under this instrument shall extend to ASSIGNOR's heirs, executors, administrators and other legal representatives.

ALSO, ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all patents referred to above to ASSIGNEE, as the ASSIGNEE of the entire right, title and interest in and to the same, for ASSIGNEE's sole use and behoof; and for the use and behoof of ASSIGNEE's legal representatives and successors, to the full end of the term for which such patent may be granted, as fully and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.

ASSIGNOR authorizes any member of the firm of Bacon & Thomas, PLLC to insert or complete any information in this document needed to effect its recordal in the U.S. Patent and Trademark Office.

Full Name of First or Sole Inventor Hidetaka HIYOSHI	Post Office Address c/o IHARA CHEMICAL INDUSTRY CO., LTD. KENKYUSHO, 2256, Nakanogo, Fujikawa-cho, Ihara-gun, Shizuoka 421-3306, JAPAN
Citizenship JAPAN	Residence (city, and either state or foreign country, MPEP §605.02) Shizuoka, JAPAN
Date 19 June, 2006	Signature <i>Hidetaka, Hiyooshi</i>

☒ See following page(s) for additional joint inventors.

(06Nov2001)

ATTORNEY/DOCKET NO:

**SUPPLEMENTAL PAGE FOR AN
ASSIGNMENT BY INVENTOR(S) OF U.S. APPLICATION**

Full Name of Joint Inventor Hironobu KUMAGAI	Post Office Address c/o IHARA CHEMICAL INDUSTRY CO., LTD. 4-26, Ikenohata 1-chome, Taito-ku, Tokyo 110-0008, JAPAN
Citizenship JAPAN	Residence (city, and either state or foreign country, MPEP §605.02) Saitama, JAPAN
Date 19 June, 2006	Signature <i>Hironobu Kumagai</i>

Full Name of Joint Inventor Hideo OOI	Post Office Address c/o IHARA CHEMICAL INDUSTRY CO., LTD. KENKYUSHO, 2256, Nakanogo, Fujikawa-cho, Ihara-gun, Shizuoka 421-3306, JAPAN
Citizenship JAPAN	Residence (city, and either state or foreign country, MPEP §605.02) Shizuoka, JAPAN
Date 19 June, 2006	Signature <i>Hideo Ooi</i>

Full Name of Joint Inventor	Post Office Address
Citizenship	Residence (city, and either state or foreign country, MPEP §605.02)
Date	Signature

Full Name of Joint Inventor	Post Office Address
Citizenship	Residence (city, and either state or foreign country, MPEP §605.02)
Date	Signature

☐ See following page(s) for additional joint inventors.

(05Nov2001)



1120307



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

SEPTEMBER 06, 2006

PTAS

BACON & THOMAS, PLLC
625 SLATERS LANE
FOURTH FLOOR
ALEXANDRIA, VA 22314



103295448A



UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 08/15/2006

REEL/FRAME: 018206/0985
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HIYOSHI, HIDETAKA

DOC DATE: 06/19/2006

ASSIGNOR:

KUMAGAI, HIRONOBU

DOC DATE: 06/19/2006

ASSIGNOR:

OOI, HIDEO

DOC DATE: 06/19/2006

ASSIGNEE:

IHARA CHEMICAL INDUSTRY CO., LTD.
4-26, IKENOHATA 1-CHOME, TAITO-KU
TOKYO, JAPAN 110-0008

SERIAL NUMBER: 10589534

FILING DATE:

PATENT NUMBER:

ISSUE DATE:

TITLE: SUBSTITUTED SYM-TRIINDOLE

018206/0985 PAGE 2

SHARON BROOKS, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

ADP
58.40

10/58~534
IAP11 Rec'd PCT/PTO 15 AUG 2006

B/O FORM PTO-1595 (Rev. 4/00)

8/15/06

08-23-2006



U.S. Department of Commerce
Patent and Trademark Office

To the Commissioner for Patents. Plea

103295448

ies thereof.

1. Name of Conveying Party(ies):

Hidetaka HIYOSHI; Hironobu KUMAGAI and Hideo OOI

2. Name and Address of Receiving Party(ies):

Name: Ihara Chemical Industry Co., Ltd.

Internal Address:

Street Address: 4-26, Ikenohata 1-chome, Taito-ku

City, State, Zip: Tokyo 110-0008, JAPAN

☐ Additional names of conveying parties attached.

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: June 19, 2006

☐ Additional name(s) and address(es) attached.

4. (A) Patent Application Number(s):

4. (B) Patent Number(s):

If this document is being filed together with a new application, the execution date of the application is:

June 19, 2006

☐ Additional Numbers Attached

5. Name and Address of Party to whom Correspondence Concerning this Document Should be Mailed:

Name: George A. Loud

Address: 23364
Customer Number
Phone: (703) 683-0500

Total Number of Applications and Patents Involved:

1

7. Total Fee:
(37 CFR 3.41)

\$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit Account Number: 02-0200

ATTACH DUPLICATE COPY OF THIS PAGE IF PAYING BY DEPOSIT ACCOUNT

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9. Statement and Signature:

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

George A. Loud

Name of Person Signing

Signature

August 15, 2006

Date

Total number of pages including cover sheet, attachments and document: 2